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TRANSMITTAL AND DOCUMENT RECEIPT

HSCA

TO: Mr. Michael Goldsmith
Select Committee on Assassination
House of Representatives
3381 House Annex # 2
2nd & D Street, S.W.

FROM: Office of Legislative Counsel
Central Intelligence Agency
Room 7 D 35
Washington, D.C. 20505
26 Jun 73

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INFORMATION	ACTION	RETENTION	LOAN	CLASS.
CONTROL NUMBER	DOC. DATE	SUBJECT (Unclassified preferred)		
		Notes of Wolf and Goldsmith (HSCA request (Wolf) 26 Jun 78 0001742 -0001761		SECRET
		Information on 201 files HSCA request (Wolf 26 Jun 78 0001762 -)0001781		SECRET

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RECEIPT

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Briefing 2/14/78

Bill Donnelly - Chief of Information Service Staff

Mike Coffey

Lee Coyle

Virginia Jones

Opening of 201

Operational interest

There would be interest → due to existing materials → open 201

There produce complete account of info., not documents. In early '60's, it produced index cards.

Who opens 201?

Case officer - it's his judgement which determines whether if

If no interest of continuing interest, 201 may not be opened.

If it's an int. i.e. info. comes from a source such as FBI, CIA may not open a 201.

If this type of info. comes in, it would go into index

There are certain criteria

1) Government

2) High - Level Communist officials

There are some operations which are out of Headquarters, in which case, a case officer is involved.

Per. Pl. I -

• Pl. II -

- right to prohibit p. movement

There should be a doc. indicating reasons why a per. person is not invited.

There should be a reference in 1st file to document in 2nd file if there is one.

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(3)

Central
Comm Staff

Am. citizens or most foreigners being used in some manner would, as a general rule, have a security check.

If that person was an official of another govt. agency or from military, that org. would have to be consulted.

Probably would use ~~that~~ org's

PLS - Policy & Co-ord. Staff

↳ would be involved in co-ord. of a project in which both the CIA & another org. was involved

To the extent of CIA involvement, files would be maintained. That is not to say that ^{the} other would not have more comprehensive files.

Project file

Graphics -

Refugee - part of DIA

OCE - Office of Central Registry - photos of ships, things of intelligence nature are maintained here.

Photos of prominent persons etc. ~~etc.~~

Photos of crowds or random groups would not be of interest

Wire Office Vowelled / Unvowelled Trade

PEL : Described as limited - refers to communications which are compartmentalized.

Opening of PEL channel of comm. is determined by one of 3 persons
— Chief of PLS, A.D.D., or D.D.O.

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(4)

This has always been true - In earlier times, it may have been restricted by even fewer persons.

P/C communication may, in time, be downgraded; may never be destroyed.

Is it possible, in context of a CI threat, in case of an hypothetical that info. would not be compiled in a 201 file? Yes, it is conceivable that many does. could exist in the system & not be compiled into a 201 if they don't appear to be a need for a 201.

REPRODUCTION
PROHIBITED

Pseudo: false name used for purposes of communication

Crypto: used to id. use of info. by digitry, followed by group of letters. You cannot assign a cryptonym without deriving a 201 #

If hypo. ^{Am.} soldier ~~lets~~ ^{am.} give away mil. secrets & then defects, a 201 file would not necessarily have been opened - it might be a mil. matter.

CI staff may have had interests in defector

In early 60's, there was an interest in defectors.

Does hypo based on ZEPFLE:

574 A form: request to put doc. into system

? 1897 " : " " " into code

In op. such as ZEPFLE, doc. may be specially P/C - might ~~not~~ ^{never} go into system except upon determination of officer handling case.

'Sleeping agent' hypo: to run 2 or 3 sleepers in bmn. China [24]

doesn't necessarily have to know if it since it is being run from HQs. - from ADP to CI Staff - reasonable scenario

Would a 201 be opened or sleeper?

Competing ' of secrecy or. being able to keep track of sleeper

Change of sleeper to Am. soldier defecting to E. Germany - report others in
if from reliable source stating that sleeper is providing info.

- NO 201 opened - C.O. is E. Ger. -

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MC

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(4)

This has always been true - In earlier times, it may have been restricted by more fewer persons.

7:4 Communication may, in time, be downgraded; may never be destroyed.

Is it possible, in context of a CI threat, in case of an hypothetical hot info. would not be compiled in a 201 file? Yes, it is conceivable that many does. Could exist in the system & not be compiled into a 201 if this doesn't appear to be a reason for a 201

Pseudo: false name used for purposes of communication

Crypto: used to id. code of ops. by digitry, followed by group of letters
You cannot assign a cryptonym w/out deriving a 201

If hypo. ^{Am} soldier ~~is~~ has given away mil. secrets & then defects, a 201 file would not necessarily have been opened - it might be a mil. matter.

CI staff may have had interests in defector

In early 60's, there was an interest in defectors.

Does hypo. based on ZEPITLE:

574 A form: request to put doc. into system

? 1897 " : " " " into file

In op. such as ZEPITLE, doc. may be severely P.R. - might ~~not~~ never go into system except upon determination of officer handling case.

"Sleeper agent" hypo: to ~~201~~ 202 3 sleepers in comm. China

doesn't necessarily have to know of it since it is being run from HQs. - from DAP to CI Staff - reasonable scenario

24

Would a 201 be opened or sleeper?

Competing ' of secrecy or. being able to keep track of sleeper

Usage of sleeper to Am. soldier defecting to E. Germany - report comes in
from reliable source stating that sleeper is providing info.

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(5)

Plans would take place in small room in CI Staff.

Form must be signed by DDO - would be put into op. file on the sub.

Op. file would be held at CI Staff desk or at action desk.

Problems: communication

: equipment

Op. files are generally destroyed according to guidelines.

Is it possible for someone to have both a 201 file & then Personnel file? yes

**REPRODUCTION
PROHIBITED**

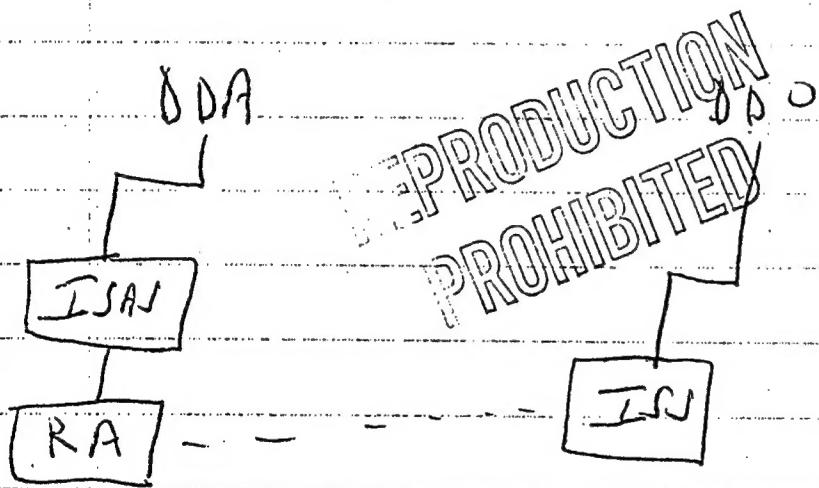
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Records Administration - helps diff' districts set up
- Bruce Johnson records sys
+ George Fratton

RIO - defunct designation for part of Info Services. Staff not handles 1000 records.



DDO has a filing sys unto itself

Any SS can call upon RA to give assistance. But DO can also design its own filing sys. as long as RA's legal guidelines are followed. But RA usually is informed of how the other filing sys. work.

is informed of how the other filing
work.

III Central sys is also heart of
indiv division (i.e. area) systems.

for items of second value

Special materials might not go into central file. ie Special Correspondence.

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"Prescribed & Limited" info

- highly sensitive info - limited dist.
to certain indivs

Designation as P+L is made by DDC
& senior staff officer

P+L designation - deep cover agent in
hostile territory will receive + Ls
designation.

- this ~~REPRODUCTION~~
~~PROHIBITED~~ would not
be uncommon ~~in~~ ~~the~~ case of this kind.

10 or 15 yrs ago, w/ very sensitive
operations, this was relatively common.
* Poss. for something to be so sensitive
that no 201 file is assigned.

CIA staff has gone over accumulation of
many yrs & is now catching up to
place names in central index.

point to the ~~REPRODUCTION~~
P+L file is ~~the~~ ~~long~~ ~~time~~ ~~ago~~ where a
- lost, destroyed ~~REPRODUCTION~~
- lost, destroyed ~~REPRODUCTION~~ to locate.

Could open 201 file w/o giving indication
of person assoc w/ CIA. This, according
to Johnson, would be irresponsible.

0001748

~~SECRET~~

George
Frater

Cryptosys would be in 201 file.

201- need for a continuing interest
in order to open a file.

source

W.H.

adversary

KGB

sent

selected

PROHIBITED

Counterintelligence threat

→ 201 file would be opened
w/ matter of days or a wk -
assuming source is accurate.

ie. an American mercenary
fin in Germany who is giving info
to Russians.

To locate where documents were
filed prior to being placed in
file, refer to contract sys under
document #.

If ~~any~~ ^{any} in Ger is actually
 sleeper who w/ P&L is no 201 file &
 opac # assigned to him, it is possi
 that his or case officer would
 prevent opening of a 201 file #.

~~option
to
utilize
this
if
any~~ → Interagency file register exists →
avoids poss. of > 1 agency using same
agent.

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Graphics index - will not contain
routine pictures of tourists or groups

201 files will not usually contain
pictures.

See
next
page

There is no ~~centralized~~ ^{Centralized} news index
Cumulated ~~for~~ ^{for} reproduction

Not certain, but
did say ~~REPRODUCTION~~ ^{Reproduction} ~~PROHIBITED~~ ^{is}
info would not
be retained for second purpose.

Principle for 201 file not to contain
crypt.

Deepcover - these people don't have 201's
in their type news.

201's are not opened in predication

Bob Barlow

There is no ~~REPRODUCTION~~ ^{Reproduction} ~~PROHIBITED~~ ^{division of a 201 file}
working files. ^{Local offices have}

Files other
than
201

subject files - partial target
project files
policy & negot.

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~~SECRET~~

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Project file

SECRET

↳ for every project ~~run by~~ ^{in wh.} Agency, it
involved, even if project run by another org
(i.e. DOD).

cover staff - involved in creation of
cover.

of REPRODUCTION PROHIBITED
↳ in setting up
deep cover plan would be at least 12.
— unless you slave to 000

such ~~as~~ deep cover programs do
exist.

There is a central listing of
cryptonyms. From this list you get
true name, then go to 201 file if
there is one.

staff personnel
↳ due to
REPRODUCTION PROHIBITED
"Mail agent
will include
preparations."

There is no back filing sys by
true name, pseudonym, crypt, & 201.

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There is no ~~yes~~ staff officer or asset filing indicating what operations/projects the staff officer/asset was involved in.

~~Contractor~~

~~Employee~~
~~relationship~~
~~with us~~
~~govt.~~

Case officer = SA in FBI

Contractor or support capacities

agent expand. people who are controlled by CIA

agent or asset may be the same

agent b/c "as" is always controlled

source = provider of info

asset = ~~any~~ someone who may provide a service or info.

Name ck process - procedure to learn what is known about a person.

- involves a ck of 201 files

As, its ~~and~~ going into 201 file if

201 files are generally in sequence

Name cks are always done w/ opening of 201.

True id may be read out of 201, & it would be worked in cryptonyms.

~~SECRET~~

0001752

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~~SECRET~~

There is a centralized filing sys by
true name, procedure, subject, + 200 etc.
- called a true name index

Sec off filing sys ~~REPRODUCTION
PROHIBITED~~ handling its dual

~~REPRODUCTION
PROHIBITED~~

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~~SECRET~~

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Fretas

201

Subject - countries, projects

exist for all projects that CIA is involved in.

~~Finance Report~~ ~~REPRODUCTION~~ ~~PRODUCTION~~ ~~PRODUCTION~~

Finance ~~REPRODUCED~~ ~~EXCLUSIVELY~~ ~~BY~~ ~~UNITED~~

REF ID: A65142
REPRODUCTION PROHIBITED
There will be a copy file
Logistics - Automobiles, clothing, supplies
Communications - ~~etc~~ census file -
able; microfilmed.

Security - security file; under pseudonym.

Personnel files on applicants & agency employees.

for agents - 2 file in office of security

Over

Covert

big dts, results of sec-
investigation. assignment,

anything that be done

When he's ~~on~~ ⁱⁿ session i.e. writing a dispatch
assignment ~~list~~ ^{list} ~~in~~ ⁱⁿ a ~~file~~ ^{file}.

Medics - RECRUITED
RECRUITED

Some agents ~~PROVIDE~~ ^{PROVIDE} services or do whatever
psych profile they can get it.

training - agents, typists, secretaries, office

ODP (Office of data processing) - not to be used by agencies of this region related to complete

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Betsy Wolf

CIA Briefing - January 26, 1978

Records Admin. Branch - w/in DDA

RIA → ^{subsumed into} ISAS - Info. Services Staff - only DDA

DDA

1

ISAS - Info. Systems Analysis Staff

Records Admin. Branch

Can be used for any level w/in any Division, but anyone can design their own systems, providing they inform RAB so that they can monitor compliance.

"Family Jewels Collection":

Highly sensitive & compartmentalized info. tends to be diverted from central records

Guidelines for handling & maintaining secret but not for completing "bigot that" emphasis on limiting access.

↳ P: L

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p.2

"Prescribed & Limited" Distribution (P&L): doesn't cover files but info, communications

"Sleeper" hypo: Operation could have been so sensitive as to be kept out of filing, indexing system, particularly 10-15 years ago.

May have been handled out of front office; may not have been recd. as file #

201 #'s: assigned by ~~sys~~; were assigned by RIA 10-15 yrs. ago
files were not designated "P&L", but were "restricted" to confined jurisdictions

Cryptonym assignment: part of ISS - Central Top Secret; hypotic Reference Staff

"Sleeper" would have to have a cryptonym for op. purposes. Would list cryptonym w/ 201 # → no name, not in STAR system

Bob Bartové - Basic for opening a 201 file:

Some sense of "existing interest" either as a potential source, agent, KGB official - can be used ^{for} operational or counter-intell. purposes
would be better to consolidate several references in STAR system
could be opened in response to the reference - ex.: 1 credible source ref. to some suspected KGB person

201 could be opened in a matter of hrs., days or weeks if someone recognized info. of significance on part. person

"files content listing" - supplemental listing from STAR system

other did system Abstract system of STAR: could find prior references to a part. start? document

outline in '60's

p.3

Central Source Register

Ask Gregg for details

Intelligence Source Register : in effect probably since beg. of CIA (of Intelligence Agencies) - doesn't include regular personnel - only assets - would be based on true names - wouldn't contain sensitive sources

201 files would not necessarily contain a photograph. Even if photo existed, it may not even be in 201 file but may be x-ref. to a specific desk.

Photos collection in DAT

Ask Gregg

Indiv. desks will collect photos of persons of interest
 may contain photos of terrain, etc. Not particularly interested in group pic., etc.

Listing of assets - would be maintained in a working manner at separate desks.

Ask Gregg

DDO would be only place where there would be access to this type of listing:

By & large, no 201 files on employees, unless there was an co. interest prior to employment. ~~Reproduction~~ ~~PROHIBITED~~ Special Personnel File.

Opening docs. of 201 files would contain refs. to clearance papers (which would be maintained in Sec. Office)

Emp. under deep cover \rightarrow Staff Agent - dis files would appear under his pseudonym. \rightarrow ^{deconverted & would}

Don't open 201's or pseudonyms, but could open one on cryptonyms.

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Only 1 copy of a 201 file; may be a working field copy

Subject files:

Project files:

Policy & mgmt. files

REPRODUCTION
PROHIBITED

Project file: operational mgmt. record of a given project

A. Administration

B. Support

C. Production

201 would have info. on asset involved in project; project file's info. is on operation itself.

See Gregg

Operational Details

Central list of cryptonyms - where they're registered - you can match the cryptonym with the true name. The more sensitive the asset or operation → the more difficult it will be to get to true name.

Hard file: Official information

Soft file: includes working papers - anything of record value in soft file would be reflected in hard file.

? Project files: where are approval, decision-making records filed?

Employee file

contains: where worked; supervisor's name; type of work done; evaluations

Does not contain specific operations in which employee was involved.

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Employees

↳ Case officers - intelligence officers

Contract employees

Agents: may or may not be paid represent assets who are under their control

Asset: someone from whom they can get useful services, including

Source: Source of information

Ask Huzz PRQ: Basic biog. info.

Way of ordering available info.

Fundamental doc. in an agent's 201 file.

Name check (=trace) process includes check of following:

STAR trace

Travel files

Office of Security

Provisional Doc. Approval

Also do name checks in other agencies

Negative AM/LASH name trace -

Greer check list:

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p.6

George Frates

Subject files: countries, projects, cause.

201 files: individuals

REPRODUCTION
PROHIBITED

Would be a matter of course to maintain files on another operation originating in another agency.

Agent:

201:

Office of Security

" of Finance:

CI Staff might have info.

Finance: meetings, vouchers, receipts; will have a cryptonym file

Logistics: support-autos, clothing, etc. necessary to run operations

Communications: cables, telegraphs

Maintain a chrono. file on cables - on microfilm

Cables are logged in file number, date, station

Security: Security files - listed under pseudonym if an agent

Started to eliminate
dual filing @ mid-60's

Agents - true name if an employee
has 2 files - each with the same #

late 60's

Out - true name Covert - pseudonym - listed in index
- Would an agent ever operate under a pseudonym

If it has pseudonym → he is in file

(Covert) True name: drug data, results of background check, security
violations & assignments

(Covert) Pseudonym: contains everything the person did = lists where

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he worked, what he did, etc.

If an agent, it would have a POA for each project the agent was involved in.

If a staff employee, it will only have a list of assignments.

PROHIBITED
Medics: Medical histories on all staffers; or agents if they can get it

Psychological profiles

Training: Train agents, mrs., secrs., officers
Use all training centers

Office of Data Processing: Put together programs used by computers.

Personnel: applicants for agency employ.
All agency employees

(true name used)

ODO has central index which X-refs. true names, cryptonyms,
pseudonyms; 201 numbers.

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